

# **Exhibit K**

## FEDERAL BUREAU OF INVESTIGATION

Date of entry 09/06/2022

On April 12, 2022, JESSE MARTZ (MARTZ), formerly employed at Archegos Capital Management (Archegos), was interviewed at the United States Attorney's Office, Southern District of New York, located at One Saint Andrew's Plaza, New York, New York 10007. Present during the interview was MARTZ's legal counsel Deborah Colson and Rosalyn Huff from Colson Law; Special Agent (SA) Andreas M. Economou-Ellison, SA Thomas McDonald, and Forensic Accountant Jessica Dibugno from the Federal Bureau of Investigation; Assistant United States Attorney (AUSA) Andrew Thomas, AUSA Matthew Podolsky, and AUSA Alexander Rossmiller from the United States Attorney's Office, Southern District of New York; Osman Nawaz and Brian Fitzpatrick from the Securities and Exchange Commission; and Ben Rankin, Alejandra de Urioste, Jack Murphy, and Jacob Mermelstein from the Commodity Futures Trading Commission. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

---

Investigation on 04/12/2022 at New York, New York, United States (In Person)File # 318B-NY-3416770Date drafted 04/13/2022by ECONOMOU-ELLISON ANDREAS MICHAEL, Thomas W. McDonald, DIBUGNO JESSICA MARY

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

318B-NY-3416770

Continuation of FD-302 of (U) Interview of Jesse Martz on 04/12/2022 , On 04/12/2022 , Page 5 of 9

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Swap confirms for brokers were typically automatic, but MUFG did not have an automatic system set up to trade swap. Because of this, MARTZ had to confirm each trade that had to be done. BECKER walked MARTZ through the

318B-NY-3416770

Continuation of FD-302 of (U) Interview of Jesse Martz on 04/12/2022 , On 04/12/2022 , Page 6 of 9

process of how to confirm a trade order, price, and trade date, which was done through order manager through Axio. MARTZ then sent this information to HALLIGAN to electronically sign before sending it to MUFG.

[REDACTED]

When Archegos traded with MUFG, MUFG sent the swap confirms and then MARTZ would open them up to make sure the trade dates and settlement dates matched as well as to confirm the name traded, number of shares, price, and notional amount, which was found in the Axio system. Once MARTZ made the checks, he would email it to HALLIGAN and HALLIGAN would respond back "signed." MARTZ would then send it to MUFG. MARTZ did not recall conversations with HALLIGAN about the confirm process. MARTZ did not play a role in Archegos's relationship with MUFG. MARTZ was not responsible for negotiating contracts and ISDAs.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]